SES Performance Management System
Executive Performance Agreement

SES

Part 1. Consultation. *I have reviewed this plan and have been consulted on its development.*

Executive's Name *(Last, First, MI)*: O'Brien, Kathleen S. Appraisal Pd. 10/1/15 – 9/30/16

Executive's Signature: Kathleen A. O'Brien Date: 12/7/2015

Title: Director, Office of Planning, Analysis, and Accountability Organization: OCFO

Rating Official's Name *(Last, First, MI)*: Bloom, David A. CA ☐ NC ☐ LT/LE ☐

Rating Official's Signature: Date: 12/8/2015

Part 2. Progress Review

Executive's Signature: Kathleen A. O'Brien Date: 5/6/2016

Rating Official's Signature: Date: 5/6/2016

Reviewing Official's Signature *(Optional)*: Date:

Part 3. Summary Rating (b) (6)

Initial Summary Rating Outstanding Commendable Effective Needs Improvement Unsatisfactory

Rating Official's Name *(Last, First, MI)*:

Rating Official's Signature: Date: 11/3/2016

Executive's Signature: Kathleen A. O'Brien Date: 11/3/2016

Reviewing Official's Signature *(Optional)*: Date:

Higher Level Review *(if applicable)*

☐ I request a higher level review. Executive's Initials: Date:

Higher Level Review Completed ☐ Date:

Higher Level Reviewer Signature:

Performance Review Board Recommendation (b) (6)

PRB Chair Signature:

Annual Summary Rating

Appointing Authority Signature: Date:

Part 4. Derivation Formula and Calculation of Annual Summary Rating

Critical Element	Element Rating Initial	Element Rating Final (if changed)	Weight	Score Initial	Score Final (if changed)
1. Leading Change	(b) (6)		10	(b) (6)	
2. Leading People			20		
3. Business Acumen			10		
4. Building Coalitions			10		
5. Results Driven			50		
Total			100%		

Summary Level Ranges

475-500 = Level 5
400-474 = Level 4
300-399 = Level 3
200-299 = Level 2
Any CE rated Level 1 = Level 1

Part 5. Critical Elements

Performance Standards for Critical Elements (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- **Level 5:** The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.

- **Level 4:** The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.

- **Level 3:** The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position.

- **Level 2:** The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.

- **Level 1:** In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

Element Rating Level Points	
	Level 5 = 5 points **Level 4 = 4 points** **Level 3 = 3 points** **Level 2 = 2 points** **Level 1 = 0 points**

Executive Name and ID: O'Brien, Kathleen S. Appraisal Period: 10/1/15 – 9/30/16

Critical Element 1. Leading Change **(Minimum weight 5%)** (b) (6)

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements
Advances EPA's cross-agency strategies to improve service and program performance, to include streamlining decision making to increase efficiency and reduce costs, and to achieve sustainable environmental, economic, and social outcomes.

Rating Official Narrative:

(b) (6)

Critical Element Rating – Leading Change (b) (6)

Critical Element 2. Leading People **(Minimum weight 5%)** (b) (6)

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements
Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity and Inclusion programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication, and promotes employee career development. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations.

As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion.

Rating Official Narrative:

(b) (6)

Critical Element Rating – Leading People (b) (6)

Executive Name and ID: O'Brien, Kathleen S. Appraisal Period: 10/1/15 – 9/30/16

Critical Element 3. Business Acumen **(Minimum weight 5%)** (b) (6) [redacted]

Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.

Agency-Specific Performance Requirements

As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories.

As applicable, modernizes business practices, including through E-Enterprise, and takes advantage of new tools and technologies. Improves the way we work as a high-performing Agency by ensuring we add value in every transaction with our workforce, our co-regulators, our partners, industry, and the people we serve. As applicable, promotes the use of strategic sourcing and business process improvements as a component of the Agency's High Performing Organization Cross-Agency Strategy.

As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.

Rating Official Narrative [redacted]

(b) (6)

Critical Element Rating – Business Acumen (b) (6) [redacted]

Critical Element 4. Building Coalitions **(Minimum weight 5%)** (b) (6) [redacted]

Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.

Agency-Specific Performance Requirements

As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.

Rating Official Narrative: [redacted]

(b) (6)

Critical Element Rating – Building Coalitions (b) (6) [redacted]

Executive Name and ID: Kathleen S. O'Brien Appraisal Period: 10/01/2015 – 9/30/2016

Critical Element 5. Results Driven	**(Minimum Weight 20%)**	(b) (6)

Agency Goals/Objectives for current FY: The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.

This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.

Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified.

(b) (6)

[redacted]

Rating Official Narrative:

(b) (6)

[redacted]

Critical Element Rating – Results Driven

(b) (6)

[redacted]

Critical Element 5. Results Driven – Overflow page for up to 8 more performance requirements; Calibri 10 font required.

(b) (6)

[redacted]

(b) (6)

[redacted]

Part 6: Summary Rating Narrative *(Mandatory)* Supervisor must provide comment for all ratings.

(b) (6)

[redacted]

Part 8: Agency Use

Executive Name and ID: O'Brien, Kathleen S. Rating Period: 10/1/15 – 9/30/16

Part 7: Executive's Accomplishment Narrative – Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.

(b) (6)

[redacted]

(b) (6)

Part 8: Agency Use

Executive Development Plan

Employee Name (Last, First, MI)	Performance Period	
O'Brien Kathleen S.	From: 1/01/2015	To: 12/31/2016

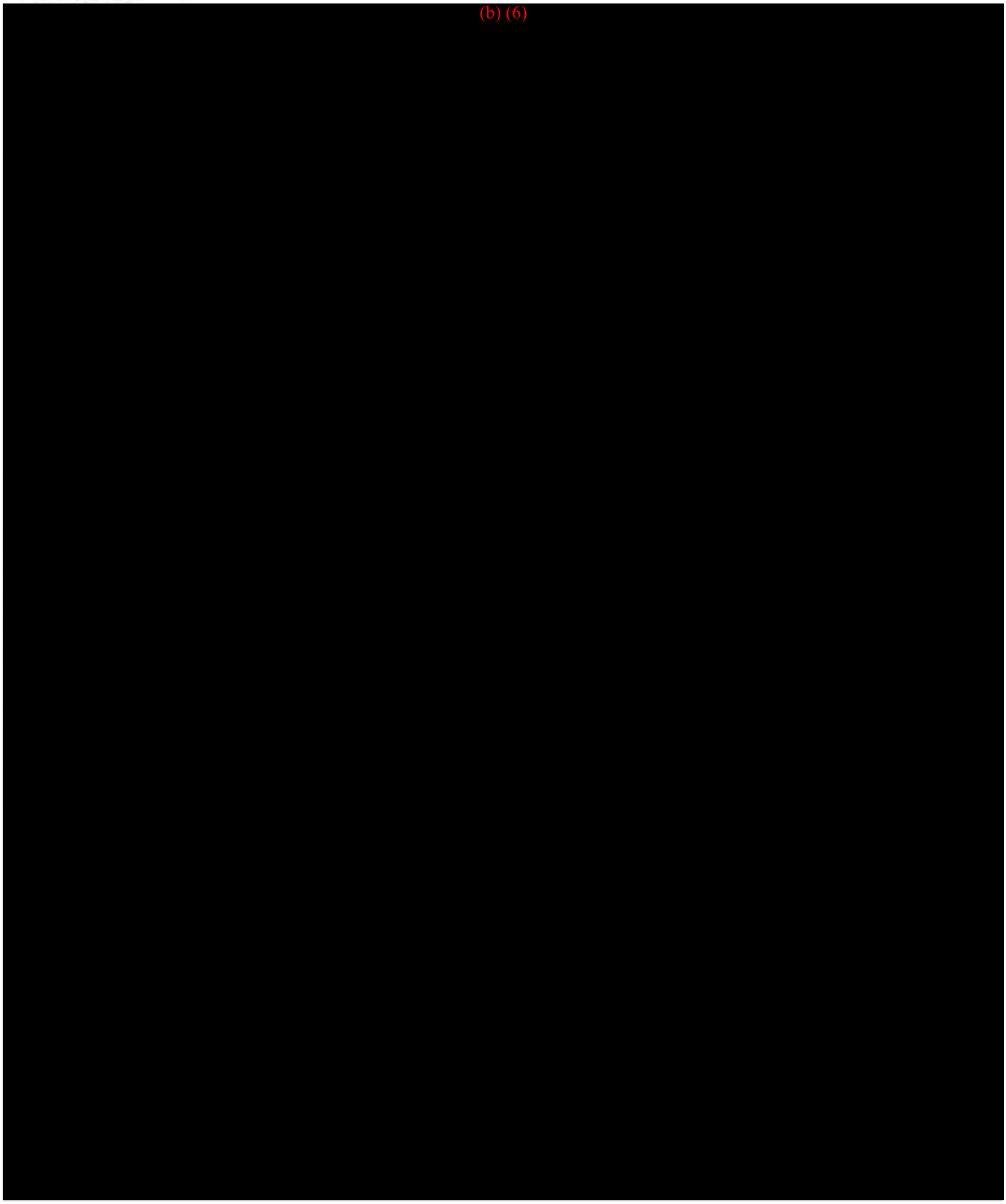
Long Term Goal:	(b) (6)	Short Term Goal:	(b) (6)

Career Goals & Development Objectives	Specific Development Activities	
Goals/Objectives	Activity	Time Frame
(b) (6)		2015-2016
		2015-2016
		2015-2016
		2015-2016
		2015-2016

	Employee	Supervisor	Approving Official
Discussion and/or approval of the Executive Development Plan.	Signature: Kathleen S. O'Brien	Signature:	Signature:
	Date: 12/10/2014	Date: 12/12/14	Date:

Kathy Obrien

(b) (6)



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Rating Official's Signature: [signature] — Date: 12/8/2015

Part 2. Progress Review

Executive's Signature: Kathleen A. O'Brien — Date: 5/6/2016

Rating Official's Signature: [signature] — Date: 5/6/2016

Reviewing Official's Signature *(Optional)*: — Date:

Part 3. Summary Rating [redacted] (b) (6)

Initial Summary Rating Outstanding | Commendable | Effective | Needs Improvement | Unsatisfactory

Rating Official's Name *(Last, First, MI)*:

Rating Official's Signature: [signature] — Date: 11/3/2016

Executive's Signature: Kathleen A. O'Brien — Date: 11/3/2016

Reviewing Official's Signature *(Optional)*: — Date:

Higher Level Review *(if applicable)*

☐ I request a higher level review. Executive's Initials: — Date:

Higher Level Review Completed ☐ — Date:

Higher Level Reviewer Signature:

[redacted] (b) (6)

Performance Review Board Recommendation

PRB Chair Signature: Linda Gray

Annual Summary Rating

Appointing Authority Signature: [signature] — Date:

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